

03/16/01

J1049-U.S. PTO

EXPRESS MAIL CERTIFICATE

hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Typed or Printed Name Dave Glisson Express Mail No. EL 563 388 611 US
Signature *Dave Glisson* Date March 16, 2001

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

CUSTOMER NO. 24353
Atty Docket No. UCSF-048CON
First Named Inventor German, et al.
Title: *Delivery of Therapeutic Gene Products by Intestinal Cell Expression*

Jc82 U.S. PTO
09/11/01

03/16/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form *in duplicate*
2. ☒ Specification Total Pages 50
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix

Address to: Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

5. ☐ Microfiche Computer Program (*Appendix*)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission
(*if applicable, all necessary*)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

- Background of the Invention

- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

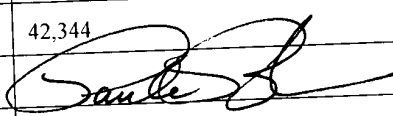
3. ☒ Drawing(s) (35 USC 113) Total Sheets 10
4. ☒ Oath or Declaration Total Sheets 6
(In Counter-Part)
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37,CFR 1.63(d)
(for continuation/divisional with Box 16 completed)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
c. ☐ Unsigned

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☒ Power of Attorney (copy from prior application)
9. ☐ English Translation Document (*if applicable*)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 0 Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(*Should be specifically itemized*)
13. ☒ Applicants are entitled to Small Entity status as defined under 37 CFR § 1.27
14. ☐ Certified Copy of Priority Document(s)
(*if foreign priority is claimed*)
15. ☒ Other: Application Cover Page
16. ☒ Applicant Claims small entity status. See 37 CFR 1.27

16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:
☒ Continuation of prior application No. 09/254,988, Filed June 11, 1999, which is 371 of PCT/US97/16523, filed September 18, 1997, which is a Continuation-in-Part of application No. 08/717,084 filed September 19, 1996.

| | | | |
|-----------------------------------|---------------------------------|------------------|----------------|
| 17. CORRESPONDENCE ADDRESS | | | |
| Individual Name | Paula A. Borden | | |
| Firm Name | BOZICEVIC, FIELD & FRANCIS LLP | | |
| Address | 200 Middlefield Road, Suite 200 | | |
| City, State, Zip | Menlo Park, CA 94025 | | |
| Country | U.S.A. | | |
| Telephone | (650) 327-3400 | Facsimile | (650) 327-3231 |

| | |
|---|---|
| SIGNATURE of Applicant or Assignee of Record | |
| Individual Name | Paula A. Borden |
| Registration No. | 42,344 |
| Signature |  |
| Date | March 16, 2001 |

document\UCSF-048CON\Application trans-new utility.doc

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$435.00

Complete if Known

| | |
|----------------------|---------------------------|
| Application Number | Unassigned |
| Filing Date | Herewith (March 16, 2001) |
| First Named Inventor | German et al. |
| Examiner Name | Unassigned |
| Group Art Unit | Unassigned |
| Attorney Docket No. | UCSF-048CON |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **50-0815**
- Deposit Account Name **Bozicevic, Field & Francis LLP**
- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR § 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | 355.00 |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | \$355.00 |

2. EXTRA CLAIM FEES

| Extra Claims | | Fee from below | Fee Paid |
|--------------------|---------------|----------------|----------|
| Total Claims | 17 - 20** = 0 | X 9.00 = | 0.00 |
| Independent Claims | 4 - 3** = 1 | X 40.00 = | 40.00 |
| Multiple Dependent | | 0.00 = | 0.00 |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 | |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid | |
| 109 | 80 | 209 | 40 | ** Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | | | \$40.00 |

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|---------------------|--------------|----------|----------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non - English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR § 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Statement | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) | | | | | |
| SUBTOTAL (3) | | | | | \$40.00 |

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type) **Paula A. Borden**

Signature 

Registration No. (Attorney/Agent)

42,344

Complete (if applicable)

Telephone **650-327-3400**

Date **March 16, 2001**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on

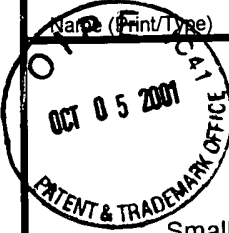
Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

NO3CO#

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Name (Print/Type) Cindy Hoang Signature *Cindy Hoang* Date 09-24-2001



TRANSMITTAL

☒ Small Entity

☐ Large Entity

Application Number 09/811,323
Confirmation Number 7184
Filing Date March 16, 2001
First Named Inventor GERMAN
Examiner To Be Assigned
Group Art 1615
Attorney Docket No. UCSF048CON

ENCLOSED:

☐ Amendment Under Rule

☐ 37 CFR §

☐ Pages

Claims

No. of claims as
filed or after
amendment

Most claims
previously paid
for

Extra Claims

Rate

Totals

Total

Independent

Multiple

Total Extra Claim Fees

\$ -

\$ -

\$ -



Applicants Petition for an
Extension of time from

07-23-2001

to

08-23-2001

A _ month extension was previously filed
and paid for thereby reducing the basic
fee

Fee \$ 195.00



Response to Notice of Incomplete Reply (with copy of formalities letter)



Filing Fee

Fee



Executed Declaration

Pages

Surcharge Fee



Other

1) Supplemental Preliminary Amendment and Response to Notice of Incomplete Reply

(3 pgs.)

Fee

Fee

Fee

Fee

Subtotal \$ -



Information Disclosure Statement



PTO Form 1449

Pages



Copies of Cited References



Other

Fee

Subtotal \$ -



Response to Notice of Incomplete Reply (with copy of Notice to Comply)



Sequence Listing Certification

10/10/2001 BABRAHA1 00000020 500815 09811323



Paper Copy of Sequence Listing

Pages 01 FC:216 200.00 CH




Diskette in computer-readable format



Other

Fee

| | | |
|---|---|---|
| <input type="checkbox"/> Terminal Disclaimer | | Fee |
| <input type="checkbox"/> Appeal to Board of Appeals and Appeal Communication to Group | | |
| <input type="checkbox"/> Notice of Appeal | Pages _____ | Fee _____ |
| <input type="checkbox"/> Appeal Brief in Triplicate | Pages _____ | Fee _____ |
| <input type="checkbox"/> Reply Brief | Pages _____ | Fee \$ - |
| | | Subtotal \$ - |
| <input type="checkbox"/> Other Enclosures and/or Fees _____ | | Fee _____ |
| <input type="checkbox"/> Change of Correspondence Address | | |
| <input checked="" type="checkbox"/> Return Receipt Postcard | | |
| TOTAL FEES | | \$ 195.00 |
| <p>The Commissioner is authorized to charge any fees which may be required, or credit any overpayment to Deposit Account 50-0815. If additional fees are required, including extensions of time, please consider this a petition therefore. A duplicate copy of this transmittal is enclosed.</p> | | |
| SIGNATURE OF APPLICANT, ATTORNEY OR AGENT REQUIRED | | |
| Name (Print/Type) | Paula A. Borden | Registration No. 42,344 |
| Signature |  | Date 09-24-2001 |
| Firm Name | Bozicevic, Field & Francis LLP | Address 200 Middlefield Road, Suite 200 |
| City | Menlo Park | State California zip 94025 |
| Telephone - Direct Dial | 650-327-3400 | Facsimile 650-327-3231 |

Application No. 09/811,323 Attorney Docket No. UCSF048CON Page 2 of 2